

MEMORANDUM FOR: All Joint/Cooperative Institutes

FROM: John Cortinas, OAR Joint/Cooperative Institute Program Manager

SUBJECT: Guidance for OAR Joint/Cooperative Institute Annual Reports

DATE: June 27, 2003

This memorandum serves as general guidance for preparing an OAR Joint/Cooperative Institute (JI) annual report. As a requirement of a Joint/Cooperative Institute Cooperative Agreement, each institution must submit an annual report describing the research activity during the preceding year. This report is reviewed by the JI Program Manager and becomes part of the official grant file. In the past, information contained in these reports has been used by the JI program office, NOAA and OAR management, DOC Office of General Counsel, and the Office of the Inspector General.

According to the Code of Federal Regulations (15 CFR 24), the minimum requirements (non-relevant items have not been copied here) for a financial assistance annual report are:

- (1) Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports. Annual reports shall be due 90 days after the grant year. If a justified request is submitted by the grantee, the Federal agency may extend the due date for any performance report.
- (2) Performance reports will contain, for each grant, brief information on the following:
  - (i) A comparison of the actual accomplishments to the objectives established for the period.
  - (ii) The reasons for the slippage if established objectives were not met.
- (3) Grantees will not be required to submit more than the original and two copies of performance reports.
- (4) Grantees will adhere to the standards in this section in prescribing performance-reporting requirements for subgrantees.

Given these general requirements, the OAR JI Program Office has given each JI flexibility in choosing the format and content of their annual report. The JI Program Office believes that this process has worked well and that the scientific substance of these reports is good. Throughout the year, however, OAR has requested additional information from the JI concerning publications and employee information that could be included in the annual report. Currently this information is usually not included in the annual report. In an effort to make the annual reports more useful to OAR and to reduce the number of OAR headquarter information requests throughout the year, I request that the following guidelines be used when preparing each annual report:

- (1) When possible, the annual report should be printed with text on both sides of each page. This reduces the amount of paper that is used and allows for a smaller document that can be stored easily.
- (2) As described in 2(i) above, at least one objective should be stated for each project along with an adequate description of the research that was conducted during the report year.
- (3) Each report should be sent with some type of binding. This binding can be as simple as putting the document into a three-ring binder.
- (4) Include a section that provides a general description and activities of the JI. In this section include information about the total number of JI employees by job title and terminal degree for each year of the CA, as well as the number of undergraduate and graduate students (separately), visiting scientists, and post docs supported during the year with NOAA funding.
- (5) In addition to a typical publication list, provide a total count of publications for the reporting period and previous periods categorized by NOAA lead author and JI lead author and whether it was peer-reviewed and non peer-reviewed (not including presentations).

	JI Lead Author					NOAA Lead Author				
	FY01	FY02	FY03	FY04	FY05	FY01	FY02	FY03	FY04	FY05
Peer-reviewed										
Non peer-reviewed										

- (6) Include a table of contents.
- (7) Summarize (highlight) the annual research in 1-3 pages. Some JIs have done this using a bullet format.
- (8) A list of awards given to JI employees or to the JI itself during the period.
- (9) Provide two hard copies and an electronic version of the report, preferably as a PDF document. One copy will reside in the JI Program Office, one will be shared with OAR senior management and the electronic copy will be made available on the Web.